Docket No. 11525.00104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#5
S-L
04-23-02

IN RE APPLICATION OF: Edward H. Sargent
SERIAL NO: 09/988,030 GAU: 2874
FILED: November 16, 2001 EXAMINER: Not yet assigned
FOR: ***Dynamically reconfigurable optical amplification element***

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:
Applicant(s) wish to disclose the following information.

REFERENCES

☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.

☐ A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

☐ Attached is a copy of applicant's pending application(s) or issued patent(s) which may be related to the present application. These documents are listed on form PTO-1449, also attached.

☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

☐ Each item of information contained in this information disclosure statement was cited for the first time in any communication from a foreign patent office in any counterpart foreign application not more than three months prior to the filing of this statement.

☐ No item of information contained in this information disclosure statement was cited for the first time in any communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

☐ This Information Disclosure Statement is being filed within three months of the filing date of the subject patent application.

☒ This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits.

PETITION

☐ Applicant(s) hereby request consideration of the attached information. A check is attached in the amount of the Petition fee required under 37 CFR §1.17(i)(1).

DEPOSIT ACCOUNT

☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number **23-2185**. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

BLANK ROME COMISKY & MCCAULEY LLP

THE FARRAGUT BUILDING
SUITE 1000
900 17TH STREET, NW
WASHINGTON, DC 20006
TEL (202) 530-7400
FAX (202) 463-6915

David J. Edmondson
Attorney of Record
Registration No. 35,126

Date: April 12, 2002

Form PTO 1449 (Modified)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 115354.00104	SERIAL NO. 09/988,030
LIST OF REFERENCES CITED BY APPLICANT		APPLICANT Edward H. Sargent	
		FILING DATE November 16, 2001	GROUP 2874

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOC. NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	6,027,989	Feb. 22, 2000	Poole et al.			
	AB	5,915,165	Jun. 22, 1999	Sun et al.			
	AC	5,882,951	Mar. 16, 1999	Bhat			
	AD	5,843,802	Dec. 1, 1998	Beernink et al.			
	AE	5,771,256	Jun. 23, 1998	Bhat			
	AF	5,766,981	Jun. 16, 1998	Thornton et al.			
	AG	5,708,674	Jan. 13, 1998	Beernink et al.			
	AH	5,707,890	Jan. 13, 1998	Emery et al.			
	AI	5,608,753	Mar. 4, 1997	Paoli et al.			
	AJ	5,574,745	Nov. 12, 1996	Paoli et al.			
	AK	5,539,763	Jul. 23, 1996	Takemi et al.			
	AL	5,455,429	Oct. 3, 1995	Paoli et al.			
	AM	5,425,043	Jun. 13, 1995	Holonyak, Jr. et al.			
	AN	5,395,793	Mar. 7, 1995	Charbonneau et al.			
	AO	5,353,295	Oct. 4, 1994	Holonyak, Jr. et al.			
	AP	5,298,454	Mar. 29, 1994	D'Asaro et al.			
	AQ	4,871,690	Oct. 3, 1989	Holonyak, Jr. et al.			
	AR	4,805,179	Feb. 14, 1989	Harder et al.			
	AS						

FOREIGN PATENT DOCUMENTS

		DOC. NUMBER	DATE	COUNTRY	TRANSLATION YES	TRANSLATION NO
	AT				☐	☐
	AU				☐	☐
	AV				☐	☐

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

	AW	Journal of Crystal Growth (2000), "Growth of novel InP-based materials by He-plasma-assisted epitaxy," Authors: Pinkney et al.; Pages 237-241
	AX	J. Vac. Sci. Technol. A 16(2), Mar/Apr 1998, "Characterization of annealed high-resistivity InP grown by He-plasma-assisted epitaxy," Authors: Pinkney et al.; Pages 772-775
	AY	J. Vac. Sci. Technol. A 16(2), Mar/Apr 1998, "Quantum well intermixing in material systems for 1.5 μm (invited)," Authors: Marsh et al.; Pages 810-816
	AZ	IEEE Photonics Technology Letters, Vol. 8, No. 9, September 1996, "10 Gb/s Wavelength Conversion with Integrated Multiquantum-Well-Based 3-Port Mach-Zehnder Interferometer," Authors: Idler et al.; Pages 1163-1165
	BB	J. Appl. Phys. 79(2), 15 January 1996, "Compositional disordering of InGaAs/GaAs heterostructures by low-temperature-grown GaAs layers," Authors: Tsang et al.; Pages 664-670
	BC	IEEE Photonics Technology Letters, Vol. 7, No. 9, September 1995, "Monolithic Integration of InGaAsP-InP Stratined-Layer Distributed Feedback Laser and External Modulator by Selective Quantum-Well Interdiffusion," Authors: Ramdane et al.; Pages 1016-1018
	BD	"Quantum Well Intermixing Caused By Non-Stoichiometric INP," Authors: Haysom et al.; Pages 56-59

Examiner	Date Considered

*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.